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Docket No. SUN-P7015 0300 #4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:	de Jong et al.
SERIAL NO.:	10/040,293
FILING DATE:	October 29, 2001
TITLE:	PRIVACY AND IDENTIFICATION IN A DATA COMMUNICATIONS NETWORK
EXAMINER:	[not yet assigned]
ART UNIT:	[not yet assigned]

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date printed below:

Date: 3/19/02 Name: Diane Morse
Diane Morse

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Each item of information listed in the attached FORM PTO-1449, for which a copy of each is attached, may be material to the examination of the above-identified application and is, therefore, submitted in compliance with the duty of disclosure defined in 37 CFR §§ 1.56, 1.97 and 1.98. The Examiner is requested to make these items of official record in this application.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

I

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).
This information disclosure statement is filed either (1) within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).
This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113; (2) a notice of allowance under 37 C.F.R. § 1.311; or (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17 (p) for submission of an information disclosure statement under 37 C.F.R. § 1.97 (c) ($180); or a certification according to 37 C.F.R. § 1.97 (e).

( ) 37 C.F.R. § 1.97(d).
This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. § 1.17 (p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) ($180), and a certification according to 37 C.F.R. § 1.97(e).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

II

(X) No fee is due.

( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed ($180).

Please charge any additional required fee or credit any overpayment to our deposit account number 50-1698. An additional copy of this page is enclosed.

III

Pursuant to 37 C.F.R. § 1.97(e), I certify:

(X) No certification is necessary.

( ) (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.

( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Respectfully submitted,
THELEN REID & PRIEST LLP

Dated: March 19, 2002

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OIPE JC174 MAR 28 2002 PATENT & TRADEMARK OFFICE
OIPE JC174 APR 01 2002 PATENT & TRADEMARK OFFICE

Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-7015	Serial No. 10/040,293
Information Disclosure Statement by Applicant (Use several sheets if necessary)	Applicant: de Jong et al.	
	Filed: 10/29/01 Group:	

U.S. Patent Documents

Init.		Document No.	Date	Name	Class	Subclass	Filing Date
	A	5,721,781	02/24/98	Deo et al.	380	25	09/13/95
	B	5,742,756	04/21/98	Dillaway et al.	395	186	02/12/96
	C	5,802,519	09/01/98	De Jong	707	100	02/08/95
	D	5,844,218	12/01/98	Kawan et al.	235	380	07/16/96
	E	5,930,363	07/27/99	Stanford et al.	380	24	03/17/95
	F	6,052,690	04/18/00	De Jong	707	101	08/27/98
	G	6,094,656	07/25/00	De Jong	707	100	08/02/96

Foreign Documents

Init.		Document No.	Date	Country	Class	Subclass	Translation Yes	Translation No
	H	0 748 135	11/12/96	Europe	H04Q 7	22	X	
	I	94/30023	12/22/94	PCT	H04Q 7	04	X	
	J	97/45817	12/04/97	PCT	G07F 7	10	X	
	K	98/19237	05/07/98	PCT	G06F 9	46	X	
	L	00/00890	01/06/00	PCT	G06F 11	00	X	
	M	01/06391	01/25/01	PCT	G06F 17	00	X	

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

	N	1998 Advanced Card Technology Sourcebook, Copyright 1997; Faulkner & Gray, "Sun Rises Over Smart Cards", pp. 150-154.
	O	Anderson et al., "A New Family of Authentication Protocols", Cambridge University Computer Laboratory, England, pp. 1-13.
	P	Berlind, David, "Who Do You Trust?", October 16, 2001, printed from http://www.zdnet.com/filters/printerfriendly/0,6061,2818131-92,00.html on 1/9/02.
	Q	Dreifus, H., "Smart Cards: A guide to Building and Managing Smart Card Applications; Copyright 1998; Publisher Robert Ipsen; "Smart Card Development Skills, Methods, and Tools"; pp. 159-225.
	R	Evers, Joris, "Update: Sun, others form MS Passport alternative", Sun Microsystems, Inc., September 26, 2001, printed from http://www.computerworld.com/cwi/Printer_Friendly_Version/0,1212,NAV47_STO64233-,00... on 1/8/02.
	S	Fisher, Dennis, "Sun unveils open alternative to Passport", September 26, 2001, printed from http://zdnet.com/filters/printerfriendly/0,6061,2814885-54,00.html on 1/9/02.
	T	Garvey et al., "Sun Leads Authentication Alliance", September 27, 2001, printed from http://www.informationweek.com/story/IWK20010927S0001 on 1/9/02.
	U	Goldreich, Oded, "The Foundations of Modern Cryptography", May 2, 1998, Department of Computer Science and Applied Mathematics, Weizmann Institute of Science, Rehovot, Israel, Version Nr. 3.1, pp. 0-41.

Examiner	Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.

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Information Disclosure Statement by Applicant	Applicant: de Jong et al.	
(Use several sheets if necessary)	Filed: 10/29/01 Group:	

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

	V	Gong et al., "Going Beyond the Sandbox: An Overview of the New Security Architecture in the Java TM Development Kit 1.2", USENIX Symposium on Internet Technologies and Systems-December 8-11, 1997, pp. 103-112.
	W	Haller, et al. "Description of the S/KEY One-Time Password System", printed on 1/9/02 from http://math.lanl.gov/~aric/Skey/skey.txt, 5 pages.
	X	Hawblitzel, et al., "Implementing Multiple Protection Domains in Java", Technical Report 97-1660, Department of Computer Science, Cornell University.
	Y	Heiss, J. et al., "Java Card™ Technology Grows Up Smart", printed on 4/22/00 at http://java.sun.com/features/1999/01/javacard.html, 5 pages.
	Z	Islam, N. et al., "A Flexible Security Model for Using Internet Content", IBM Thomas J. Watson Research Center Papers, 'Online!', 6/28/97.
	AA	"Kerberos: The Network Authentication Protocol", printed from http://web.mit.edu/kerberos/www/ on 1/9/02.
	AB	"Liberty Alliance Project- The Liberty Alliance Project", printed from http://www.projectliberty.org/ on 1/8/02.
	AC	"Liberty Alliance Project-Industry Leaders to Form Network Identity and Liberty Alliance Project", printed from http://www.projectliberty.org/release.html on 1/8/02.
	AD	"Liberty Alliance Project-FAQ", printed from http://projectliberty.org.faq.html on 1/8/02.
	AE	Lindholm, et al., "The JAVA™ Virtual Machine Specification", September 20, 1996.
/	AF	Naor, et al., "Universal One-Way Hash Functions and their Cryptographic Applications", March 13, 1995, pp. 1-14.
	AG	Schneider, Professor Fred B., "Authentication-Lamport hash and biometrics", March 4, 1999, CS 513 - System Security, Lecture 12, printed from http://www.cs.cornell.edu/html/cs513-sp99/NL12.html on 1/9/02.
	AH	Sun Microsystems, Inc., "Java Card™ Runtime TM Environment (JRCE) 2.1 Specification, Draft 2", 12/14/98, US XP002138793 cited in the application page 6-2 page 6-10.
	AI	Sun Microsystems, Inc., "How to write a Java Card applet: A developer's guide", printed on 4/22/00 from http://www.javaworld.com.javaworld/jw-07-1999/f_jw-070javacard_p.htlm, 15 pages.
	AJ	Sun Microsystems, Inc. "Smart Cards: A primer", printed on 4/22/00 from http://www.javaworld.com/javaworld/jw-12-1997/f_jw-12-javadev_p.html, 13 pages.
	AK	Sun Microsystems, Inc., "Sun's Java Card™ Technology Extends its Industry Leadership", printed 4.22.00 from http://java.sun.com/pr/1999/11/pr991116-01.html 1, 5 pages.
	AL	Sun Microsystems, Inc., "Understanding Java Card 2.0", printed on 4/22/00 from http: www.javaworld.com/javaworld/jw-03-1998/f_jw-03-javadev_p/html, 12 pages.
	AM	Sun Microsystems, Inc., "Java Card™ Applet Developer's Guide", August 19, 1998, Revision 1.12.
/	AN	Sun Microsystems, Inc., "Java Card™ 2.0 Application Programming Interfaces", October 13, 1997, Revision 1.0 Final.
/	AO	Sun Microsystems, Inc., "Java Card™ 2.0 Language Subset and Virtual Machine Specification", October 13, 1997, Revision 1.0 Final.

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Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

	AP	Sun Microsystems, Inc., "Java Card™ 2.0 Programming Concepts", October 15, 1997, Revision 1.0 Final.
	AQ	Sun Microsystems, Inc., "Java Card™ 2.1 Application Programming Interface", June 7, 1999, Final Revision 1.1.
	AR	Sun Microsystems, Inc., "Java Card™ 2.1 Runtime Environment (JRCE) Specification", June 7, 1999, Final Revision 1.1.
	AS	Sun Microsystems, Inc., "Java Card™ 2.1 Virtual Machine Specification", June 7, 1999, Final Revision 1.1.
	AT	Sun Microsystems, Inc., "Release Notes - Java Card™ 2.1 Specifications", June 7, 1999, Final Revision 1.1.
	AU	Sun Microsystems, Inc., "The K Virtual Machine (KVM)", White Paper, 6/8/99.
	AV	Thomas, David J., "Smart and Smarter: The Emergence of Java Card™ Technology", printed on 4/22/00 from http://java/sun.com/features/1998/04/javacard.html, 8 pages.

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